



Please type a plus sign (+) inside this box

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

UTILITY
PATENT APPLICATION
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. ZK522/00008

First Inventor	Plunk
-----------------------	-------

Title	Retrofit Recessed Fluorescent Strip Fixture and Method
-------	---

Express Mail Label
EL625173935US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Box Patent Application
Washington, DC 20231

- Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
1. ☒ **Application claims small entity status.**
See 37 CFR 1.27.
2. ☐ **Specification** [Total Pages (preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
3. ☒ **Drawing(s)** (35 U.S.C. 113) [Total Sheets

4. ☐ **Oath or Declaration** [Total Pages

a. ☒ Newly executed (original or copy)

b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application, see 37 CFR
1.63(d)(2) and 1.33(b).

5. ☒ **Application Data Sheet.** See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

- EXHIBITATION PARTS**
9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS
Statement (IDS)/PTO-1449 Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122
(b)(2)(B)(i). Applicant must attach form PTO/SB/35
or its equivalent.
17. ☐ Other:

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment.
or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

Prior application information:

Examiner

of prior application No.: _____ /

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. TELEPHONE ADDRESS

☒ *Customer Number or Bar Code Label*

or ☐ Correspondence address below

Name	Jeffrey A. Harbort, Esq. 2500 Brown & Williamson Tower
------	---

Address

City

Country

Louisville

State

Kentucky

Zip Code	40202
----------	-------

Telephone

(502) 584-1135

Feb (502) 561-0442

Name (Print/Type)

Jeffrey A. Haeblerlin

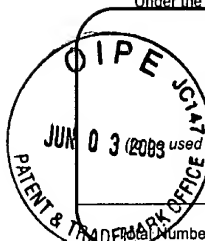
Registration No. (Attorney/Agent) 40.630

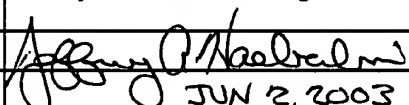
Signature

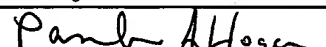
Date 05/25/2001

Burden Hour Statement: This form is estimated to take 0.5 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

	TRANSMITTAL FORM	
	Application Number	09/865,833
	Filing Date	05/25/2001
	First Named Inventor	Plunk, Carlton
	Art Unit	2875
	Examiner Name	Negron, Ismael
Total Number of Pages in This Submission		88
Attorney Docket Number		ZK522/00008

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Cover letter File history Postcard
Remarks Complete file enclosed replaces lost file		
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual	Jeffrey A. Haeberlin, Reg. No. 40,630	
Signature		
Date	JUN 2, 2003	

CERTIFICATE OF TRANSMISSION/MAILING <i>Express Mail</i>		
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: <u>6/3/2003</u>		
Typed or printed	Pamela J. Hogan	
Signature		Date <u>6/3/2003</u>

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 80.00

Complete if Known

Application Number	09/865,833
Filing Date	05/25/2001
First Named Inventor	Plunk, Carlton
Examiner Name	Negron, Ismael
Group Art Unit	2875
Attorney Docket No.	ZK522/00008

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number

Deposit Account Name

☐ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check ☒ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
101 740	201 370	Utility filing fee	
106 330	206 165	Design filing fee	
107 510	207 255	Plant filing fee	
108 740	208 370	Reissue filing fee	
114 160	214 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Total Claims -20** = X =

Independent Claims -3** = X =

Multiple Dependent =

Large Entity Small Entity

Fee Code (\$)	Fee Code (\$)	Fee Description	Fee Paid
103 18	203 9	Claims in excess of 20	
102 84	202 42	Independent claims in excess of 3	
104 280	204 140	Multiple dependent claim, if not paid	
109 84	209 42	** Reissue independent claims over original patent	
110 18	210 9	** Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$ 80.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for <i>ex parte</i> reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 400	216 200	Extension for reply within second month	
117 920	217 460	Extension for reply within third month	
118 1,440	218 720	Extension for reply within fourth month	
128 1,960	228 980	Extension for reply within fifth month	
119 320	219 160	Notice of Appeal	
120 320	220 160	Filing a brief in support of an appeal	
121 280	221 140	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,280	241 640	Petition to revive - unintentional	
142 1,280	242 640	Utility issue fee (or reissue)	
143 460	243 230	Design issue fee	
144 620	244 310	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 740	246 370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 740	249 370	For each additional invention to be examined (37 CFR § 1.129(b))	
179 740	279 370	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00

SUBMITTED BY

Name (Print/Type) Jeffrey A. Haeblerlin

Registration No. 40,630
(Attorney/Agent)

Complete (if applicable)

Telephone (502) 584-1135

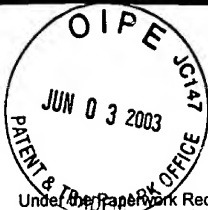
Signature

Date

8/29/02

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	09/865,833	
	Filing Date	05/25/2001	
	First Named Inventor	Plunk, Carlton	
	Group Art Unit	2875	
	Examiner Name	Negron, Ismael	
Total Number of Pages in This Submission	32	Attorney Docket Number	ZK522/00008

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input checked="" type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input checked="" type="checkbox"/> Amendment / Reply	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Fee determination
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Revised Declaration
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/ Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Jeffrey A. Haeberlin, Reg. No. 40,630
Signature	
Date	AUG. 29, 2002

CERTIFICATE OF MAILING FAKED			
I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, Washington, DC 20231 on this date: 8-29-2002			
Typed or printed name	Pamela J. Hogan		
Signature		Date	8-29-2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (11-00)
Approved for use through 10/31/2002. MB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT

(\$ 1,018.00

Complete If Known

Application Number

Filing Date

First Named Inventor

PLUNK

Examiner Name

Group Art Unit

Attorney Docket No.

ZK522/00008

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit
Account
Number

Deposit
Account
Name

- ☐ Charge Any Additional Fee Required
Under 37 CFR 1.16 and 1.17

- ☐ Applicant claims small entity status.
See 37 CFR 1.27

2. ☒ Payment Enclosed:

☐ Check

☒ Credit card

☐ Money
Order

☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
101 710	201 355	Utility filing fee
106 320	206 160	Design filing fee
107 490	207 245	Plant filing fee
108 710	208 355	Reissue filing fee
114 150	214 75	Provisional filing fee

Fee Paid

SUBTOTAL (1) (\$710.00

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
26	-20** = 6	X 18	= 108.00
5	-3** = 2	X 80	= 160.00
Multiple Dependent			

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$268.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unintentional	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Processing fee under 37 CFR 1.17(q)	
126 180	126 180	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	40.00
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	
Other fee (specify)			
SUBTOTAL (3)			(\$ 40.00

SUBMITTED BY

Name (Print/Type)

Jeffrey A. Haeblerlin

Registration No.

(Attorney/Agent)

40,630

Complete (if applicable)

Telephone

(502) 584-1135

Signature

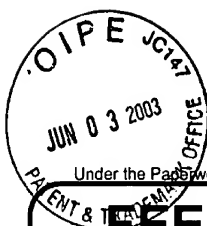
Jeffrey A. Haeblerlin

Date

05/25/2001

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PTO/SB/17 (01-03)
Approved for use through 04/30/2003. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 84.00

Complete if Known

Application Number 09/865,833
Filing Date 05/25/2001
First Named Inventor Plunk, Carlton
Examiner Name Negron, Ismael
Art Unit 2875
Attorney Docket No. ZK522/00008

METHOD OF PAYMENT (check all that apply)

☐ Check ☒ Credit card ☐ Money Order ☐ Other ☐ None

☐ Deposit Account:

Deposit Account Number
Deposit Account Name

The Commissioner is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Extra Claims Fee from below Fee Paid
Total Claims -20** = X =
Independent Claims -3** = X =
Multiple Dependent =

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 84.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

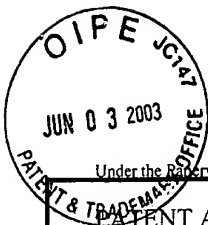
SUBMITTED BY

Name (Print/Type) Jeffrey A. Haerberlin
Registration No. (Attorney/Agent) 40,630
Telephone 502-584-1135
Signature [Signature]
Date JUN 2, 2003

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Approved for use through 10/31/2002. OMB 0651-0032
U. S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE

PATENT APPLICATION FEE DETERMINATION RECORD					Application or Docket Number ZK522-00008		
CLAIMS AS FILED - PART I					SMALL ENTITY OR OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)					
FOR	NUMBER FILED	NUMBER EXTRA		RATE	FEE		
BASIC FEE (37 CFR 1.16(a))					\$ 710		
TOTAL CLAIMS (37 CFR 1.16(c))		26	minus 20 = * 6	x \$ =	OR x \$ 18 = 108		
INDEPENDENT CLAIMS (37 CFR 1.16(b))		5	minus 3 = * 2	x =	OR x 80 = 160		
MULTIPLE DEPENDENT CLAIM PRESENT (37 CFR 1.16(d))				+ =	OR + =		
* If the difference in column 1 is less than zero, enter "0" in column 2				TOTAL	OR TOTAL 978		
CLAIMS AS AMENDED - PART II					SMALL ENTITY OR OTHER THAN SMALL ENTITY		
(Column 1)		(Column 2)		(Column 3)			
AMENDMENT A	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDI-TIONAL FEE	
	Total (37 CFR 1.16(c))	* 18	Minus	** 20	= 0	x \$ =	OR x \$ 1 = 0
	Independent (37 CFR 1.16(b))	* 6	Minus	*** 5	= 1	x =	OR x 84 = 84
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ =	OR + =	
TOTAL				OR TOTAL 84			
(Column 1)		(Column 2)		(Column 3)			
AMENDMENT B	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDI-TIONAL FEE	
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =	OR x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =	OR x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ =	OR + =	
TOTAL				OR TOTAL			
(Column 1)		(Column 2)		(Column 3)			
AMENDMENT C	CLAIMS REMAINING AFTER AMENDMENT		HIGHEST NUMBER PREVIOUSLY PAID FOR	PRESENT EXTRA	RATE	ADDI-TIONAL FEE	
	Total (37 CFR 1.16(c))	*	Minus	**	=	x \$ =	OR x \$ =
	Independent (37 CFR 1.16(b))	*	Minus	***	=	x =	OR x =
	FIRST PRESENTATION OF MULTIPLE DEPENDENT CLAIM (37 CFR 1.16(d))				+ =	OR + =	
TOTAL				OR TOTAL			

* If the entry in column 1 is less than the entry in column 2, write "0" in column 3.

** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, enter "20".

*** If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, enter "3".

The "Highest Number Previously Paid For" (Total or Independent) is the highest number found in the appropriate box in column 1.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



MIDDLETON
REUTLINGER

2500
Brown & Williamson
Tower
Louisville, Kentucky
40202

502.584.1135
502.561.0442 fax
www.middreut.com

Pamela J. Hogan
phogan@middreut.com
Direct tel (502) 625-2820
Direct fax: (502) 588-1974



Mail Stop Reconstruction
Attn. Examiner Ismael Negrón
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RE: GENLYTE THOMAS GROUP LLC
Title: Retrofit Recessed Fluorescent Strip Fixture and Method
Serial No. 09/865,833; filed 05/25/2001
Art Unit. 2875
Day-Brite Division
Our Ref.: ZK522-00008

Dear Mr. Negrón:

Pursuant to our telephone conversation of yesterday, enclosed please find a copy of our prosecution file, which should assist you in reconstructing the missing file. Also enclosed please find the fee transmittal and credit card forms for an additional claim that was added in our August 29th Amendment.

If you have any questions or concerns, please call.

Sincerely,
MIDDLETON REUTLINGER

Pamela J. Hogan
Intellectual Property Assistant

/pjh
Enclosures

06-04-03

June 3, 2003

CERTIFICATE OF MAILING UNDER 37 CFR 1.10

I hereby certify that this correspondence is being deposited with the United States Postal Service, with sufficient postage as Express Mail, in an overnight letter envelope addressed to:

Mail Stop Reconstruction
Commissioner of Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Express Mail Label No. EV100712785US
Date of Deposit: 06/03/2003

Pamela J. Hogan

EV100712785US

RECEIVED
JUN -- 6 2003
TECHNOLOGY CENTER 2800



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/865,833	05/25/2001	Carlton Plunk	ZK522/00008

CONFIRMATION NO. 5838

22884
MIDDLETON & REUTLINGER
2500 BROWN & WILLIAMSON TOWER
LOUISVILLE, KY 40202



Title: Retrofit recessed fluorescent strip fixture and method

Publication No. US-2001-0050850-A1
Publication Date: 12/13/2001

Date Mailed: 12/14/2001

NOTICE OF PUBLICATION OF APPLICATION

The above-identified application will be electronically published as a patent application publication pursuant to 37 CFR 1.211, et seq. The patent application publication number and publication date are set forth above.

The publication may be accessed through the USPTO's publically available Searchable Databases via the Internet at www.uspto.gov. The direct link to access the publication is currently <http://www.uspto.gov/patft/>.

The publication process established by the Office does not provide for mailing a copy of the publication to applicant. A copy of the publication may be obtained from the Office upon payment of the appropriate fee set forth in 37 CFR 1.19(a)(1). Orders for copies of patent application publications are handled by the USPTO's Office of Public Records. The Office of Public Records can be reached by telephone at (703) 308-9726 or (800) 972-6382, by facsimile at (703) 305-8759, by mail addressed to the United States Patent and Trademark Office, Office of Public Records, Crystal Gateway 4, Room 335, Washington, D.C. 20231, or via the Internet.

In addition, information on the status of the application, including the mailing date of Office actions and the dates of receipt of correspondence filed in the Office, may also be accessed via the Internet through the Patent Electronic Business Center at www.uspto.gov using the public side of the Patent Application Information and Retrieval (PAIR) system. The direct link to access this status information is currently <http://pair.uspto.gov/>. Prior to publication, such status information is confidential and may only be obtained by applicant using the private side of PAIR.

Further assistance in electronically accessing the publication, or about PAIR, is available by calling the Patent Electronic Business Center at (703) 305-3028.

Customer Service Center
Initial Patent Examination Division (703) 308-1202



UNITED STATES PATENT AND TRADEMARK OFFICE

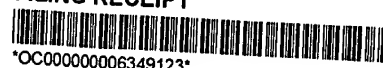
COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO.	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/865,833 ✓	05/25/2001 ✓	2875	978	ZK522/00008 ✓	6	26	5

22884
MIDDLETON & REUTLINGER
2500 BROWN & WILLIAMSON TOWER
LOUISVILLE, KY 40202

CONFIRMATION NO. 5838

FILING RECEIPT



OC000000006349123

Date Mailed: 07/26/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Carlton Plunk, Saltillo, MS; ✓

Domestic Priority data as claimed by applicant

THIS APPLN CLAIMS BENEFIT OF 60/209,925 06/07/2000 ✓

Foreign Applications

If Required, Foreign Filing License Granted 07/26/2001 ✓

Projected Publication Date: 12/13/2001 ✓

Non-Publication Request: No

Early Publication Request: No

Title

Retrofit recessed fluorescent strip fixture and method

Preliminary Class

362

Data entry by : GEREMEW, FIKIRTE

Team : OIPE

Date: 07/26/2001



AUGUST 15, 2001



2K522-00008
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

PTAS



101739257A

MIDDLETON REUTLINGER
JEFFREY A. HAEBERLIN, ESQ.
2500 BROWN & WILLIAMSON TOWER
LOUISVILLE, KENTUCKY 40202

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 05/25/2001

REEL/FRAME: 011853/0620
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

PLUNK, CARLTON

DOC DATE: 05/23/2001 ✓

ASSIGNEE:

GENLYTE THOMAS GROUP LLC A DE. —
LIMITED LIABILITY COMPANY
4360 BROWNSBORO ROAD, SUITE 300 —
LOUISVILLE, KENTUCKY 40207 ✓

SERIAL NUMBER: 09865833
PATENT NUMBER:

FILING DATE: 05/25/2001 ✓
ISSUE DATE:

PEARLENE FOSTER, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

8/21/01
✓



IPF



**LICENSE FOR FOREIGN FILING UNDER
Title 35, United States Code, Section 184
Title 37, Code of Federal Regulations, 5.11 & 5.15**

GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

NOT GRANTED

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

PLEASE NOTE the following information about the Filing Receipt:

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

**MIDDLETON REUTLINGER**

2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Direct Phone (502) 625-2820
Direct Fax (502) 588-1974
Email: phogan@middreut.com

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton & Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO:	Name: Ismael Negron, Examiner	RECEIVED JUN - 6 2003 TECHNOLOGY CENTER 2820
	Address: U.S. Patent and Trademark Office	
	Fax # 703-746-4764	
	Date: August 29, 2002 Time:	
FROM:	Name: Pamela J. Hogan	
NUMBER OF PAGES (including cover sheet): 33		

<input checked="" type="checkbox"/> ORIGINAL WILL NOT FOLLOW	<input type="checkbox"/> REGULAR MAIL
<input type="checkbox"/> ORIGINAL WILL FOLLOW BY:	<input type="checkbox"/> EXPRESS MAIL
	<input type="checkbox"/> HAND DELIVERY
	<input type="checkbox"/> OTHER (See Remarks)

RE: Application of Plunk
U.S. Serial No. 09/865,833; Filed 05/25/2001
For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD
Our Ref. No. ZK522/00008

REMARKS: This facsimile is in response to the Office Action mailed June 5, 2002. Pursuant to our telephone conversation of yesterday, our credit card payment follows this cover sheet along with the following documents.

CERTIFICATE OF FACSIMILE TRANSMISSION

I hereby certify that the following papers are facsimile-transmitted to the Patent and Trademark Office on the date shown below.

- 1) Transmittal Form (PTO/SB/21)
- 2) Fee Transmittal (PTO/SB/17)
- 3) Credit Card Information (PTO-2038)
- 4) Fee Determination (PTO/SB/06)
- 5) Reply A, With Amendment, Under Rule 111 (21 pages)
- 6) Drawings (6 pages)

Pamela J. Hogan
Intellectual Property Assistant
Person Signing

Pamela J. Hogan
Signature

8-29-2002
Date



MIDDLETON REUTLINGER
2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Main Tel (502) 584-1135; Direct Tel (502) 625-2753
Direct Fax (502) 588-1932
Email: jahaeblerin@middreut.com

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton & Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO:	Name: Examiner Ismael Negron
	Address: U.S Patent Office
	Fax # (703)746-4764
	Date: August 22, 2002
	Time:
FROM:	Name: Jeffrey A. Haeberlin
NUMBER OF PAGES (including cover sheet): 20	

<input checked="" type="checkbox"/>	ORIGINAL WILL NOT FOLLOW	<input type="checkbox"/>	REGULAR MAIL
<input type="checkbox"/>	ORIGINAL WILL FOLLOW BY:	<input type="checkbox"/>	EXPRESS MAIL
		<input type="checkbox"/>	HAND DELIVERY
		<input type="checkbox"/>	OTHER (See Remarks)

RE: Application No. 09/865,833

In preparation for our personal interview, scheduled for 10:00 a.m. on Friday, August, 23, 2002 (tomorrow) attached is a Discussion Draft of a Reply to the current Office Action in the above application.

Please contact me at (502)625-2753 with any questions or comments you may have. Otherwise, I look forward to our meeting tomorrow morning.

Jeff Haeberlin

RECEIVED
JUN-6 2003
TECHNOLOGY CENTER 2800



MIDDLETON REUTLINGER

2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Direct Phone (502) 625-2820
Direct Fax (502) 588-1974
Email: phogan@middreut.com

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO: Name: Sandra O'Shea, Supervisory Patent Examiner

Address: U.S. Patent & Trademark Office

Fax # 703-305-3594

Date: February 25, 2003

Time:

FROM: Name: Pamela J. Hogan, Intellectual Property Assistant

NUMBER OF PAGES (including cover sheet): 35

<input checked="" type="checkbox"/> ORIGINAL WILL NOT FOLLOW	
<input type="checkbox"/> ORIGINAL WILL FOLLOW BY:	<input type="checkbox"/> REGULAR MAIL
	<input type="checkbox"/> EXPRESS MAIL
	<input type="checkbox"/> HAND DELIVERY
	<input type="checkbox"/> OTHER (See Remarks)

RE: U.S. Serial No. 09/865,833, filed 05/25/2001

Application of Plunk

For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD

Atty. Dkt. No. ZK522/00008

Sandy, per your phone message today, I am faxing the amendment, which we faxed to the USPTO on August 29th. On the 29th, the Art Group fax number would not go through, so I called Customer Service for another number and was given 703-746-4764. The transmission appears to have gone through. Please call me tomorrow regarding this application. Thank you.

Regards,

RECEIVED
JUN -6 2003
TECHNOLOGY CENTER 2800



*** TX REPORT ***

TRANSMISSION OK

TX/RX NO

1625

CONNECTION TEL

917037464764

SUBADDRESS

CONNECTION ID

ST. TIME

08/29 11:00

USAGE T

10'17

PGS.

33

RESULT

OK

RECEIVED
JUN -6 2003
TECHNOLOGY CENTER 2800

MIDDLETON REUTLINGER

2500 Brown & Williamson Tower

Louisville, Kentucky 40202-3410

Direct Phone (502) 625-2820

Direct Fax (502) 588-1974

Email: phogan@middreut.com

CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton & Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO: Name: Ismael Negron, Examiner

Address: U.S. Patent and Trademark Office

Fax # 703-746-4764

Date: August 29, 2002

Time:

FROM: Name: Pamela J. Hogan

NUMBER OF PAGES (including cover sheet): 33

☒ ORIGINAL WILL NOT FOLLOW☐ ORIGINAL WILL FOLLOW BY:

REGULAR MAIL



EXPRESS MAIL



HAND DELIVERY



OTHER (See Remarks)

RE: Application of Plunk

U.S. Serial No. 09/865,833; Filed 05/25/2001

For: RETROFIT RECESSED FLUORESCENT STRIP AND METHOD

Our Ref. No. ZK522/00008



*** TX REPORT ***

TRANSMISSION OK

TX/RX NO	2069	
CONNECTION TEL		17033053594
CONNECTION ID	CP2	
ST. TIME	02/25 13:43	
USAGE T	08'36	
PGS. SENT	34	
RESULT	OK	

RECEIVED
JUN -6 2003
TECHNOLOGY CENTER 2800

MIDDLETON REUTLINGER

2500 Brown & Williamson Tower
Louisville, Kentucky 40202-3410
Direct Phone (502) 625-2820
Direct Fax (502) 588-1974
Email: phogan@middreut.com

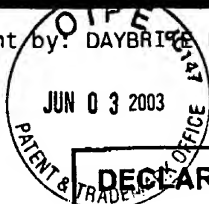
CONFIDENTIAL ATTORNEY CLIENT PRIVILEGED FACSIMILE COMMUNICATIONS

The information contained in this facsimile message, and any and all accompanying documents, constitutes confidential information. This information is the property of Middleton Reutlinger. If you are not the intended recipient of this information, any disclosure, copying, distribution, or the taking of any action in reliance on this information is strictly prohibited. If you have received this facsimile message in error, please notify us immediately at the above number to make arrangements for its return to us. Thank you.

**OUR TELECOPIER IS A CANON 710
AND IS FULLY AUTOMATIC 24 HOURS A DAY**

TO: Name: Sandra O'Shea, Supervisory Patent Examiner**Address:** U.S. Patent & Trademark Office**Fax #** 703-305-3594**Date:** February 25, 2003**Time:****FROM: Name:** Pamela J. Hogan, Intellectual Property Assistant**NUMBER OF PAGES (including cover sheet):** 35☒ ORIGINAL WILL NOT FOLLOW☐ ORIGINAL WILL FOLLOW BY:☐ REGULAR MAIL☐ EXPRESS MAIL☐ HAND DELIVERY☐ OTHER (See Remarks)

RE: U.S. Serial No. 09/865,833, filed 05/25/2001
Application of Plunk



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

Appr or use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

DECLARATION (37 CFR 1.63) FOR UTILITY OR DESIGN APPLICATION USING AN APPLICATION DATA SHEET (37 CFR 1.76)

Title of Invention	RETROFIT RECESSED FLUORESCENT STRIP FIXTURE AND METHOD		
As the below named inventor(s), I/we declare that:			
This declaration is directed to:			
<input type="checkbox"/> The attached application, or <input checked="" type="checkbox"/> Application No. <u>09/865,833</u> , filed on <u>05/25/2001</u> , <input type="checkbox"/> as amended on _____ (if applicable);			
I/we believe that I/we am/are the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought;			
I/we have reviewed and understand the contents of the above-identified application, including the claims, as amended by any amendment specifically referred to above;			
I/we acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me/us to be material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT International filing date of the continuation-in-part application.			
Every error in the patent, which was corrected in the present application, and is not covered by a prior oath/declaration submitted in this application, arose without any deceptive intention on the part of the applicant.			
All statements made herein or my/own knowledge are true, all statements made herein on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001, and may jeopardize the validity of the application or any patent issuing thereon.			
FULL NAME OF INVENTOR(S)			
Inventor one:	Given Name: <u>Carlton</u>	Family Name or Surname: <u>Plunk</u>	
Signature:	Date: <u>8-19-02</u>		
Residence City: <u>Saltillo</u>	State: <u>Mississippi</u>	Country: <u>USA</u>	Citizenship: <u>USA</u>
Mailing Address: <u>281 North 3rd Avenue</u>			
City: <u>Saltillo</u>	State: <u>Mississippi</u>	Zip: <u>38866</u>	Country: <u>USA</u>
Inventor two:	Given Name:	Family Name or Surname:	
Signature:	Date:		
Residence City:	State:	Country:	Citizenship:
Mailing Address:			
City:	State:	Zip:	Citizenship:

☐ Additional inventors are being named on _____ additional form(s) attached hereto.



RECEIVED
JUN--6 2003
TECHNOLOGY CENTER 2800

CLIENT: Genlyte Thomas INVENTOR: Plunk
TITLE: Retrofit Recessed Fluorescent Strip Fixture and

Method

S/N: _____ OUR REF. # ZK522/00008

PROV. _____ UTILITY X DESIGN _____ USPN: _____

~~XXXXXXXX~~ Credit Card IN THE AMOUNT OF \$ 1,018.00

RECEIVED SUBMISSION OF:

CERTIFICATE OF MAILING PURSUANT TO 37 CFR

1.8 _____ 1.10 X DATED: 05/25/2001

1. Utility Patent App. Transmittal
2. Fee Transmittal
3. Patent Application
4. Art
5. Declaration
6. Inventor Information Data
7. Recordation Form

8. Assignment
9. Copies of Patents
10. Postcard
11. Nonpublication Request

CLIENT: Genlyte Thomas INVENTOR: Plunk
TITLE: Retrofit Recessed Fluorescent Strip Fixture and
Method _____ ATTY. JAH

S/N: _____ OUR REF. # ZK522/00008

PROV. _____ UTILITY X DESIGN _____ USPN: _____

~~XXXXXXXX~~ Credit Card IN THE AMOUNT OF \$ 1,018.00

RECEIVED SUBMISSION OF:

CERTIFICATE OF MAILING PURSUANT TO 37 CFR

1.8 _____ 1.10 X DATED: 05/25/2001

1. Utility Patent App. Transmittal
2. Fee Transmittal
3. Patent Application
4. Art
5. Declaration
6. Inventor Information Data
7. Recordation Form

8. Assignment
9. Copies of Patents
10. Postcard
11. Nonpublication Request



FORM PTO-1619A
Expires 06/30/99
OMB 0651-0027



06-06-2001



101739257

U.S. Department of Commerce
Patent and Trademark Office
PATENT

017 U.S. PTO
09/865833



**RECORDATION FORM COVER SHEET
PATENTS ONLY**

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

Submission Type

- ☒ New *05/25/01*
- ☐ Resubmission (Non-Recordation)
Document ID#
- ☐ Correction of PTO Error
Reel # Frame #
- ☐ Corrective Document
Reel # Frame #

Conveyance Type

- ☒ Assignment ☐ Security Agreement
- ☐ License ☐ Change of Name
- ☐ Merger ☐ Other
- U.S. Government**
(For Use ONLY by U.S. Government Agencies)
- ☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) *Carlton Plunk* Execution Date
Month Day Year
05 23 2001

Second Party

Name (line 1)

Name (line 2)

Execution Date
Month Day Year

Receiving Party

☐ Mark if additional names of receiving parties attached

Name (line 1) *Genlyte Thomas Group LLC*

Name (line 2) *a Delaware Limited Liability Company*

Address (line 1) *4360 Brownsboro Road, Suite 300*

Address (line 2)

Address (line 3) *Louisville* *Kentucky* *40207*
City State/Country Zip Code

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

05/31/2001 MAHME1 00000032 09865833

04 FC:581

40.00 OP

FOR OFFICE USE ONLY

Public burden reporting for this collection of information is estimated to average approximately 30 minutes per Cover Sheet to be recorded, including time for reviewing the document and gathering the data needed to complete the Cover Sheet. Send comments regarding this burden estimate to the U.S. Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and to the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See OMB Information Collection Budget Package 0651-0027, Patent and Trademark Assignment Practice. DO NOT SEND REQUESTS TO RECORD ASSIGNMENT DOCUMENTS TO THIS ADDRESS.

Mail documents to be recorded with required cover sheet(s) information to:
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

C Correspondent Name and Address

Area Code and Telephone Number (502) 584-1135

Name Jeffrey A. Haeberlin, Esq.

Address (line 1) MIDDLETON REUTLINGER

Address (line 2) 2500 Brown & Williamson Tower

Address (line 3) Louisville, Kentucky 40202

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

1

Application Number(s) or Patent Number(s)

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property). ☐ Mark if additional numbers attached

Patent Application Number(s)

09/865833

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year
05 23 2001

Patent Cooperation Treaty (PCT)

Enter PCT application number only if a U.S. Application Number has not been assigned.

PCT PCT PCT
PCT PCT PCT

Number of Properties

Enter the total number of properties involved.

#

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 40.00

Method of Payment:
Deposit Account

Enclosed ☒

Deposit Account ☐

Credit Card Payment Form PTO2038
(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

#

Authorization to charge additional fees:

Yes ☐ No ☐

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Jeffrey A. Haeberlin, Esq. REG.# 40630

Name of Person Signing

Signature

05/25/2001

Date

ASSIGNMENT

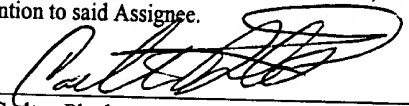
WHEREAS, Carlton Plunk, residing at 281 North 3rd Avenue, Saltillo, MS 38866, USA (the "Inventor") has invented certain new and useful improvements in the Invention disclosed in an Application for United States Letters Patent entitled RETROFIT RECESSED FLUORESCENT STRIP FIXTURE AND METHOD and executed by the Inventor on even date herewith;

AND WHEREAS, Genlyte Thomas Group LLC, a Delaware Limited Liability Company, whose principal place of business is located at 4360 Brownsboro Road, Suite 300, Louisville, Kentucky 40207 (hereafter, together with any successors, legal representatives or assigns thereof, called "Assignee"), desires to acquire the entire right, title and interest in said Invention, said Application, and any United States and foreign patents to be obtained therefor;

NOW THEREFORE, for good and valuable consideration, the receipt and sufficiency of which is hereby acknowledged, the Inventor hereby sells, assigns and transfers his entire right, title and interest in said Invention, said Application, including any divisions, continuations, and continuations-in-part, and in and to any and all Letters Patent of the United States, and all countries foreign thereto, which may be granted or have been granted for said Invention, and in and to any and all reissues and reexaminations thereof, and in and to any and all priority rights, Convention rights, and other benefits accruing or to accrue to the Inventor with respect to the filing of applications for patents or the securing of patents in the United States and countries foreign thereto, unto said Assignee;

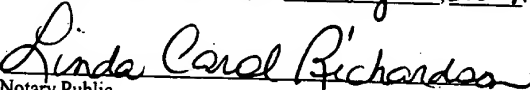
AND THE INVENTOR HEREBY agrees to sign and execute all necessary and lawful future documents, including applications for foreign patents, for filing divisions, continuations and continuations-in-part of said application for patent, and/or, for obtaining any reissue or reissues of any Letters Patent which may be granted for my aforesaid Invention, as the Assignee or its Designee(s) may from time to time require and prepare at its own expense;

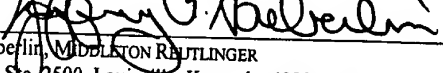
AND THE INVENTOR HEREBY authorizes and requests the United States Patent and Trademark Office, and any offices of foreign countries whose duty it is to issue patents on applications as aforesaid, to issue any Letters Patent granted upon said Application and for said Invention to said Assignee.


Carlton Plunk

5-23-01
DATE

STATE OF MISSISSIPPI _____)
COUNTY OF Lee) SS:

Subscribed, sworn and acknowledged before me by Carlton Plunk this 23rd day of May, 2001.
MISSISSIPPI STATEWIDE NOTARY PUBLIC
MY COMMISSION EXPIRES JULY 31, 2003
BONDED THRU STEGALL NOTARY SERVICE
My commission expires _____

Linda Carol Richardson
Notary Public

Prepared by: 
Jeffrey A. Haeberlin, MIDDLETON REUTLINGER
401 S. 4th Ave. Ste. 2500, Louisville, Kentucky 40202-3429
(502)584-1135 Fax: (502)561-0442 E-mail: jhaeberlin@middreut.com